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


**UTILITY
PATENT APPLICATION
TRANSMITTAL**

Attorney Docket No. 11739/33

First Inventor Wei LIU, et al.

Title WATER-STABLE PHOTOLUMINESCENT
SEMICONDUCTOR NANOCRYSTAL COMPLEXES AND
METHOD OF MAKING SAME

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

APPLICATION ELEMENTS		ADDRESS TO:																												
See MPEP chapter 600 concerning utility patent application contents.		Assistant Commissioner for Patents Box Patent Application Washington, DC 20231																												
<div>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i></div> <div>2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</div> <div>3. <input checked="" type="checkbox"/> Specification [Total Pages 17] <i>(preferred arrangement set forth below)</i><ul style="list-style-type: none">- Descriptive title of the invention- Cross References to Related Applications- Statement Regarding Fed sponsored R & D- Reference to sequence listing, a table, or a computer program listing appendix- Background of the invention- Brief Summary of the Invention- Brief Description of the Drawings <i>(if filed)</i>- Detailed Description- Claim(s)- Abstract of the Disclosure</div> <div>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 5]</div> <div>5. Oath or Declaration [Total Pages 1]<div>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</div><div>b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <i>(for a continuation/divisional with Box 18 completed)</i></div><div>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</div></div> <div>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</div>		<div>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</div> <div>8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i><div>a. <input type="checkbox"/> Computer Readable Form (CRF)</div><div>b. Specification Sequence Listing on:<div>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</div><div>ii. <input type="checkbox"/> paper</div></div><div>c. <input type="checkbox"/> Statements verifying identity of above copies</div></div> <div style="border: 1px solid black; padding: 5px;">ACCOMPANYING APPLICATIONS PARTS</div> <div>9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))</div> <div>10. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i></div> <div>11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i></div> <div>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</div> <div>13. <input type="checkbox"/> Preliminary Amendment</div> <div>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i></div> <div>15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i></div> <div>16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</div> <div>17. <input type="checkbox"/> Other:</div>																												
<div>18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:<div><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No: _____</div><div><input type="checkbox"/> Cross Reference to Related Application included in Preliminary Amendment Attached. Note: A cross reference to related application(s) must be filed with the USPTO before four months from the filing date of this continuing application.</div></div> <div>For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.</div>																														
17. CORRESPONDENCE ADDRESS																														
<div><input checked="" type="checkbox"/> Customer Number or Bar Code Label  Or <input type="checkbox"/> Correspondence address below</div> <div style="text-align: center;">(Insert Customer Number or Bar Code label here)</div> <div style="text-align: center; font-size: 1.2em;">23838</div> <div style="text-align: center; font-size: 0.8em;">PATENT, TRADEMARK OFFICE</div> <table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 20%;">Name</td><td colspan="3"></td></tr><tr><td rowspan="2">Address</td><td colspan="3"></td></tr><tr><td colspan="3"></td></tr><tr><td>City</td><td>State</td><td>Zip Code</td><td></td></tr><tr><td>Country</td><td>Telephone</td><td>Fax</td><td></td></tr></table> <table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 30%;">Name (Print/Type)</td><td style="width: 30%;">Zeba Ali</td><td style="width: 30%;">Registration No. (Attorney/Agent)</td><td style="width: 10%;">51,392</td></tr><tr><td>Signature</td><td></td><td>Date</td><td>1-11-03</td></tr></table>				Name				Address							City	State	Zip Code		Country	Telephone	Fax		Name (Print/Type)	Zeba Ali	Registration No. (Attorney/Agent)	51,392	Signature		Date	1-11-03
Name																														
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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231. DC461363v1

FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) **415.00**

Complete if Known

Application Number	UNASSIGNED
Filing Date	HEREWITH
First Named Inventor	Wei LIU, et al.
Examiner Name	UNASSIGNED
Group / Art Unit	UNASSIGNED
Attorney Docket No.	11739/33

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: 11-0800

Deposit Account Name: KENYON & KENYON

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
	1001	750	2001	375		Utility filing fee	375.00
	1002	330	2002	165		Design filing fee	
	1003	510	2003	255		Plant filing fee	
	1004	750	2004	375		Reissue filing fee	
	1005	160	2005	80		Provisional filing fee	
SUBTOTAL (1)							(\$) 375.00

2. EXTRA CLAIM FEES

Total Claims	18	-20**	=	0	X	Fee from below	=	0	X	Fee Paid	=	0
Independent Claims	2	-3**	=	0	X	42	=	0	X		=	0
Multiple Dependent					X		=	0	X		=	0

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
	1202	18	2202	9		Claims in excess of 20	
	1201	84	2201	42		Independent claims in excess of 3	
	1203	280	2203	140		Multiple dependent claim, if not paid	
	1204	84	2204	42		** Reissue independent claims over original patent	
	1205	18	2205	9		** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)							(\$) 0

**or number previously paid, if greater, For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
	1051	130	2051	65		Surcharge - late filing fee or oath	
	1052	50	2052	25		Surcharge - late provisional filing fee or cover sheet	
	1053	130	2053	65		Non-English specification	
	1812	2,520	1812	2,520		For filing a request for reexamination	
	1804	920*	1804	920*		Requesting publication of SIR prior to Examiner action	
	1805	1,840*	1805	1,840*		Requesting publication of SIR after Examiner action	
	1251	110	2251	55		Extension for reply within first month	
	1252	400	2252	200		Extension for reply within second month	
	1253	920	2253	460		Extension for reply within third month	
	1254	1,440	2254	720		Extension for reply within fourth month	
	1255	1,960	2255	980		Extension for reply within fifth month	
	1401	320	2401	160		Notice of Appeal	
	1402	320	2402	160		Filing a brief in support of an appeal	
	1403	280	2403	140		Request for oral hearing	
	1451	1,510	1451	1,510		Petition to institute a public use proceeding	
	1452	110	2452	55		Petition to revive - unavoidable	
	1453	1,280	2453	640		Petition to revive - unintentional	
	1501	1,280	2501	640		Utility issue fee (or reissue)	
	1502	480	2502	240		Design issue fee	
	1503	620	2503	310		Plant issue fee	
	1480	130	1460	130		Petitions to the Commissioner	
	1807	50	1807	50		Processing fee under 37 CFR 1.17 (q)	
	1806	180	1806	180		Submission of Information Disclosure Sheet	
	8021	40	8021	40		Recording each patent assignment per property (times number of properties)	40
	1809	740	2809	370		Filing a submission after final rejection (37 CFR § 1.129(a))	
	1810	740	2810	370		For each additional invention to be examined (37 CFR § 1.129(b))	
	1801	740	2801	370		Request for Continued Examination (RCE)	
	1802	900	1802	900		Request for expedited examination of a design application	
Other fee (specify)							
*Reduced by Basic Filing Fee Paid							
SUBTOTAL (3)							(\$) 40

SUBMITTED BY

Name (Print/Type)	Zeba Ali	Registration No. Attorney/Agent	51,392	Telephone	202.220.4200
Signature		Date	July 11, 2003		

Complete (if applicable)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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